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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/005,858	12/04/2001	Keith D. Allen	R-690	2822

7590 06/03/2003  
DELTAGEN, INC.  
740 Bay Road  
Redwood City, CA 94063

EXAMINER

QIAN, CELINE X

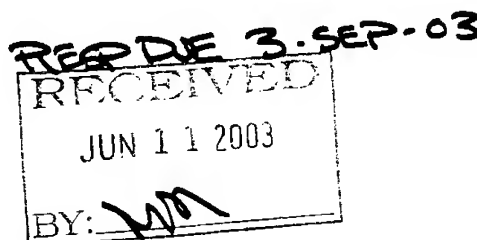
ART UNIT	PAPER NUMBER
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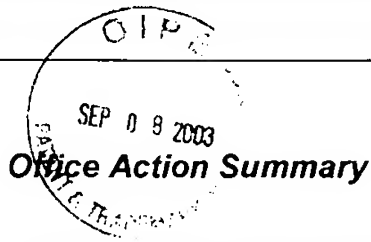
1636

7

DATE MAILED: 06/03/2003

Please find below and/or attached an Office communication concerning this application or proceeding.





Application No. 10/005,858	Applicant(s) ALLEN, KEITH D.	
	Examiner Celine X Qian	Art Unit 1636

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 05 May 2003.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☐ Claim(s) 1-21 is/are pending in the application.
- 4a) Of the above claim(s) 10-13 and 18-21 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) 1-9 and 14-17 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)                      4) ☐ Interview Summary (PTO-413) Paper No(s) \_\_\_\_\_
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)                      5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_                      6) ☐ Other:

### **DETAILED ACTION**

Claims 1-21 are pending in the application.

#### ***Election/Restrictions***

Applicant's election without traverse of Group I in Paper No. 7 is acknowledged.

Accordingly, claims 10-13 and 18-21 are withdrawn from consideration for being directed to non-elected subject matter. Claims 1-9 and 14-17 are currently under examination.

#### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 3-9 and 14-17 are rejected under 35 U.S.C. 112, first paragraph, because the specification, while being enabling for a homozygous knockout mouse comprising a disruption in the NTTP1 gene which result in no production of the NTTP1 protein, wherein said mouse exhibits the phenotype of anti-depressive behavior as compared to a wild type mouse, a method of producing such a transgenic mouse by homologous recombination in mouse ES cell, and a cell isolated from said female knockout mouse, does not reasonably provide enablement for other transgenic and/or knockout animal comprising any disruption in the NTTP1 gene. Further, the specification is not enabling for a knockout mouse comprising any disruption in the NTTP1 gene and for any cell comprising any type of disruption in a NTTP1 gene. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the invention commensurate in scope with these claims.

There are many factors to be considered when determining whether there is sufficient evidence to support a determination that a disclosure does not satisfy the enablement requirement and whether any necessary experimentation is "undue." These factors include, but are not limited to: (a) the nature of the invention; (b) the breadth of the claims; (c) the state of the prior art; (d) the amount of direction provided by the inventor; (e) the existence of working examples; (f) the relative skill of those in the art; (g) whether the quantity of experimentation needed to make or use the invention based on the content of the disclosure is "undue"; and (h) the level of predictability in the art (MPEP 2164.01 (a)).

Nature of the Invention:

Claims 3-9 and 14-17 are drawn to a cell comprising a disruption in a NTTP1 gene, a non-human transgenic animal comprising a disruption in a NTTP1 gene, a cell isolated from said transgenic animal, a method of producing a transgenic mouse with any disruption in the said gene. Thus, the nature of the invention is directed to transgenic animals and methods of producing said transgenic animals.

Breadth of Claims:

In the instant case, the claims 3-9 and 14-17 encompass any transgenic animal containing any disrupted allele for the gene that encodes the NTTP1. Further, the claims encompass both heterozygous and homozygous knockout mouse comprising any disruption in the NTTP1 gene and exhibits the phenotype of anti-depressive behavior as compared to wild type mice. Further, the claims encompass any cell comprising any disruption in the NTTP1 gene and method of producing NTTP1 knockout mouse by using any type of cell comprising a disruption of the NTTP1 gene. The disruption, as disclosed in the specification (page 6, lines 1-8) includes any

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8) includes any insertion, deletion or substitution in any portion of the gene (introns, exons, regulatory regions). The claims, therefore, encompass all such disruptions and also cover all animals that contain the NTTP1 gene disruption (page 6, lines 1-8 and 12-15).

The specification does not provide an enabling disclosure for the full scope of transgenic animals of the type claimed. The only embodiment enabled by the specification within the scope of claims 3-9 and 14-17 is for a homozygous knockout mouse comprising a disruption in the NTTP1 gene which result in no expression of the protein, wherein said mouse exhibits phenotype of anti-depressive behavior as compared to wild type mice, a method of producing such a transgenic mouse, and a cell isolated from the knockout mouse. Thus the breadth of the claims is very broad and encompasses any transgenic animal and a knockout mouse of any sex with any disruption in the NTTP1 gene and includes any and all mutant forms, substitutions, deletions, or insertions in the NTTP1 gene.

Amount of guidance in the specification and Working Examples:

The specification discloses a NTTP1 transgenic knockout mouse, wherein the homozygous knockout mouse exhibits phenotype of anti-depressive behavior as compared to wild type mice.

The specification and the working examples provide sufficient guidance to use the invention of a homozygous knockout mouse comprising a disruption the NTTP1 gene which result in no expression of the protein, wherein said mouse exhibits phenotype of anti-depressive behavior as compared to wild type mice. The specification does not teach how to make and use the invention with other species of transgenic or knockout animals and with any knockout mouse with any form of disruption in the gene encoding NTTP1 protein, as claimed in the claims 3-9

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and 14-17. Neither does the specification teach how to make a NTTP1 transgenic knockout mouse by using homologous recombination using any type of cells. Further, the specification does not teach how to make and use any cell comprising any type of disruption in the NTTP1 gene as claimed. The scope of claims 3-9 and 14-17 thus surpasses that enabled by the specification.

State of the Art, Predictability or Unpredictability of the art, Amount of experimentation necessary and Skill level of the artisan:

Although the skill of an artisan in this subject area is considered to be very high, it would require undue experimentation on the part of an artisan to make and use the claims as specified and use the invention with any and all transgenic animals as claimed. The specification and the working examples provide sufficient guidance to practice the invention with only a homozygous knockout mouse comprising a disruption the NTTP1 gene which result in no expression of the protein, wherein said mouse exhibits phenotype of anti-depressive behavior as compared to wild type mice. However, neither the specification nor the working examples provide enough guidance on how to practice the invention with any and all transgenic animals and/or transgenic mice carrying any and all transgene(s) of the types recited in the claims.

When considering the predictability of this invention, one has to remember that many of the phenotypes examined in transgenic and knockout models are influenced by the genetic background in which they are studied and the effect of allelic variation and the interaction between the allelic variants (pg. 1425, paragraph 1 in Sigmund, C.D. 2000. Arterioscler Thromb Vasc Biol.20:1425-1429). The specification only discloses the phenotype of a homozygous NTTP1 gene knockout mouse but fails to disclose the phenotypes of any and all knockout

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animals with a disruption in the NTTP1 gene. Given the state of the art, the phenotype of any transgenic or knockout animal is unpredictable. Thus, the specification, in the instant case, is not enabling for transgenic and/or knock out animals, including mice, that exhibit no phenotype or that exhibit transgene-dependent phenotypes other than that disclosed in the instant specification.

Further, the transgene expression and the physiological consequences of transgene products are not always accurately predicted in transgenic mouse studies (pg.62, paragraph1, lines 7-9 in Wall, R.J. 1996. Theriogenology 45:57-68). Thus, the disclosure, while being enabling for a homozygous knockout mouse containing two disrupted alleles for the gene encoding the NTTP1, does not provide sufficient support to predict the same phenotype in other animal systems.

The particular genetic elements required for expression varies from species to species. Our lack of understanding of essential genetic control elements makes it difficult to design transgenes with predictable behavior (Wall, 1996). Therefore, the phenotype of knockout animals is not predictable. For example, Jacks et al. (1992) describe Rb knockout mice that do not display retinoblastoma; rather they exhibit the unexpected phenotype of pituitary tumors. The pituitary tumors arise from cells lacking a wild-type Rb allele. Thus, tumors were found to arise not in retinas, as in humans, but in the pituitary gland (page 299, Discussion, paragraphs 1 and 3). Therefore, in the absence of specific guidance and working examples, the phenotype of transgenic animals with the scope as claimed is unpredictable. In such a situation, one skilled in the art would not know how to make and use the invention as claimed, without undue experimentation.

The specification fails to provide an enabling disclosure for the preparation of other species of knockout animals besides mice having a disruption in the NTTP1 gene because the guidance offered in the specification is limited to the preparation of mice harboring such mutations and no teachings or guidance are offered in regard to how one would have prepared any other type of animal having the recited gene disruption. Since homologous recombination is required for gene targeting methods such as employed in the instant invention, embryonic stem (ES) cell technology must be available to carry out the method. The prior art does not teach the generation of a transgenic mouse from any other types of cells. The only species in which such technology was known was the mouse and the artisan did not accept that it was possible to have prepared ES cells in other species (see e.g. Bradley et al., paragraph bridging pages 537-538). Campbell and Wilmut, 1997 acknowledge reports of ES-like cell lines in a number of species, but emphasize that as yet there are no reports of any cell lines which contribute to the germ line in any species other than the mouse (p. 65). Likewise, Mullins et al. (1996) teach that "[a]lthough to date chimeric animals have been generated from several species including the pig, in no species other than the mouse has germline transmission of an ES cell been successfully demonstrated. This remains a major goal for the future and may well require the use of novel strategies which depart widely from the traditional methods used in the mouse" (p. S38, column 1, paragraph 1). Thus, knockout animals cannot be prepared for any species other than the mouse. Since ES cell technology was required to produce the claimed animals and practice the claimed methods of using such animals, in the absence of such technology available in other species, one skilled in the art would have been required to exercise undue experimentation to produce the claimed animals and to practice the claimed methods in species other than mice.



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In view of the limited guidance in the specification, and limited working examples directed to transgenic, knockout mice with a specific knockout gene and exhibiting a specific phenotype, and the unpredictability of the art, one skilled in the art would be required to engage in undue experimentation, in order to make and use the invention in its full scope as claimed. Thus, the enabled scope of the claims is limited to a female homozygous knockout mouse comprising a disruption the NTTP1 gene which result in no expression of the protein, wherein said mouse exhibits phenotype of anti-depressive behavior as compared to wild type mice.

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 1, 2, 8, 14 and 17 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Regarding claims 1 and 2, the term "selectable marker," renders the claims indefinite because it is unclear how a marker protein can be part of a vector construct. It is recommended to use terms such as "selectable marker gene."

In addition, it is unclear how the target construct is arranged. In other words, is the first polynucleotide adjacent to the second polynucleotide or there is a selectable marker gene in between? In addition, it is also unclear whether the first and second polynucleotide is a contiguous sequence of the target gene or just portions of the target gene. The arrangement of the elements is essential to the operability of the invention.

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Regarding claims 8 and 17, the word "derived" renders the claim indefinite because the nature and number of derivative processes is unknown. Use of the term "isolated" is suggested.

Regarding claim 14, the term "significant expression" renders the claim indefinite because it is unclear what level of expression is considered to be significant. As such, the metes and bounds of the claim cannot be established.

### *Claim Rejections - 35 USC § 103*

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-9 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mansour et al. (1988, Nature, vol. 336, No. 24, 348-352), in view of Theodosiou et al. (1996, Human Molecular Genetics, vol.5, no.5, pages 675-684).

Mansour et al. teach a strategy for targeted disruption of the hprt gene and proto-oncogene int-2 in mouse embryonic stem cells and subsequent generation of knockout mice. Their teaching addresses the previous technical difficulty of obtaining embryonic stem cell carrying non-selectable, targeted gene mutation at loci of interest, and therefore provides a model which can be used to produce homozygous mutation of any gene, regardless of its function, if a cloned fragment of the gene is available (see page 348, second paragraph, line 1-3, third paragraph, line 1-5, and page 352, fourth paragraph, line 1-3). Mansour et al. further teach the generation of two targeting constructs, pRV9.1/TK and pINT-2-N/TK, each contains two

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sequences from an hprt gene and an int-2 gene respectively, and a neo selection marker gene in between the two sequences (see page 350, figure 3). However, Mansour et al. do not teach how to make a NTTP1 target construct and knockout mouse.

Theodosiou et al. teach the molecular cloning and characterization of NTTP1, a member of the MAP kinase phosphatase family, from a mouse brain library (see page 676, col.1, 2<sup>nd</sup> paragraph). Theodosiou et al. further teach the nucleic acid and amino acid sequence encoding NTTP1 (see page 677, Figure 1). Theodosiou et al. also teach that NTTP1 belongs to dual-specificity tyrosine/threonine phosphatase family that is involved in MAP kinase signal transduction pathway (see page 681, 2<sup>nd</sup> col., last paragraph and page 682, 1<sup>st</sup> col., 2<sup>nd</sup> paragraph).

It would have been obvious to one of ordinary skill in the art at the time of filing to make a NTTP1 knockout construct and a transgenic knockout mouse because of the combined teaching of Mansour et al. and Theodosiou et al., which provide a general method of making targeted disruption of specific gene in mouse genome to study its function and the importance in studying NTTP1 function. The ordinary artisan would have been motivated to do so to study the precise role of NTTP1 plays in cell signaling. The level of skill in the art of making gene targeting constructs and subsequently generating knockout mouse is high, absent evidence to the contrary, one of ordinary skill in the art would have reasonable expectation of success to make a NTTP1 knockout mouse as claimed. Therefore, the invention would have been *prima facie* obvious to one of ordinary skill in the art at the time the invention was made.

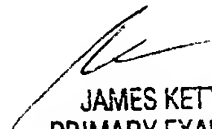
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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Celine X Qian whose telephone number is 703-306-0283. The examiner can normally be reached on 9:00-5:30 M-F.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Remy Yucel Ph.D. can be reached on 703-305-1998. The fax phone numbers for the organization where this application or proceeding is assigned are 703-305-3014 for regular communications and 703-305-3014 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-308-0196.

Celine Qian, Ph.D.  
May 30, 2003

  
JAMES KETTER  
PRIMARY EXAMINER

SEP 03 2003

PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/005,858
Filing Date	12/04/01
First Named Inventor	Keith D. Allen
Art Unit	1636
Examiner Name	Celine X. Qian
Attorney Docket Number	R-690

Total Number of Pages in This Submission

**ENCLOSURES (Check all that apply)**

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> After Allowance communication to Technology Center (TC)        |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences     |
| <input checked="" type="checkbox"/> Amendment/Reply                          | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Terminal Disclaimer  | <input type="checkbox"/> Other Enclosure(s) (please identify below):                    |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Request for Refund   |   |
| <input type="checkbox"/> Information Disclosure Statement                    | <input type="checkbox"/> CD, Number of CD(s) _____                                      |   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | <b>Remarks</b>  |   |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application   |   |   |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |   |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Kelly L. Quast, Reg. No. 52,141 <i>Kelly L. Quast</i>
Signature	
Date	September 3, 2003

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Don Mixon		
Signature	<i>Don Mixon</i>	Date	September 3, 2003

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Keith D. ALLEN

Serial No.: 10/005,858

Filed: December 4, 2001

Title: Transgenic Mice Containing NTTP1  
Phosphatase Gene Disruptions

Group Art Unit: 1636

Examiner: Qian, Celine X.

Customer No. 26619

Docket/Order No. R-690

Date: September 3, 2003

**AMENDMENT**

Commissioner for Patents  
**Mail Stop Non Fee Amendment**  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Office Action mailed June 3, 2003 in connection with the above-identified application, made final by the Examiner, Applicant requests entry and consideration of the following amendments and remarks.

**THE AMENDMENTS**

Applicant submits that this Amendment follows the revised format described in *AMENDMENTS IN A REVISED FORMAT NOW PERMITTED*, published in *Official Gazette* on February 25, 2003. As such, only one copy of each replacement paragraph, section or claim is required. Further, amendments to the claims are made by presentation of a complete listing of all claims including any amendments.